

<p style="text-align: center;">DEPARTMENT FOR MENTAL HEALTH AND MENTAL RETARDATION SERVICES</p> <p style="text-align: center;">STANDARDS OF OPERATIONS</p>	<p>Policy Number</p> <p style="text-align: center;">DMHMRS 01-02</p>	<p>Total Pages</p> <p style="text-align: center;">3</p>
	<p>Date Issued</p> <p>April 14, 2003</p>	<p>Effective Date</p> <p>April 14, 2003</p>
<p>References</p> <p>KRS 194A.025, 194A.050 § 164.530</p>	<p>Subject</p> <p>Formulation and Revision of Departmental Operating Procedures</p>	

Statement of Policy and Purpose

It shall be the policy of the Department for Mental Health and Mental Retardation Services (DMHMRS) to implement and maintain policies and procedures, which govern the operation and maintenance of records, programs and services.

Procedure

- A. Formulation and revision of DMHMRS policies and procedures shall be made in a uniform and consistent manner.
 1. New and revised policies and procedures shall be submitted to the Health Information Portability and Accountability Act (HIPAA) Privacy Officer or other staff designated by the Commissioner.
 2. At the discretion of the Commissioner, a committee of staff may be assigned to provide additional final review of all procedure revisions prior to the submission and implementation process.
 3. The Privacy Officer shall be responsible for distribution of any new or revised departmental policies and procedures to designated staff, volunteers and, when appropriate, to individual clients.
 4. The policies and procedures for operating and maintaining the department are specified in a manual that is accessible to all employees and the public. The manual is reviewed and revised as necessary.
 5. The departmental policy and procedure manual shall govern the operations, programs and services of the department. Revisions of the DMHMRS policies and procedures manual by departmental memorandum shall be prohibited, unless authorized by the Commissioner in response to an emergency situation.

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B. It shall be the policy of DMHMRS to encourage and solicit employee participation and suggestions in the formulation of departmental policies, procedures and programs. This shall be accomplished by:

1. Reviews of the policies and procedures manual and departmental handbooks and manuals;
2. Use of the strategic planning document;
3. Employee need and input;
4. Designated compliance and monitoring reviews.

C. Review of Departmental Policies and Procedures

1. Review of policies, procedures and/or programs shall be conducted to:
 - a. Provide a regular method of monitoring compliance with Kentucky Revised Statutes (KRS) and Kentucky Administrative Regulations (KAR);
 - b. Provide a regular method of monitoring compliance with the Cabinet for Health Services (CHS) policies and procedures;
 - c. Provide a regular method of monitoring compliance with HIPAA regulations;
 - d. Evaluate the effectiveness of the departmental operational plans.
2. Persons with monitoring and evaluating responsibilities shall review specific policies, or as revisions become necessary.
3. The Commissioner may request a review of specific policies if he believes the need exists.
4. In addition to the Policies and Procedures, the following areas shall be reviewed as necessary.

Division of Mental Health Operations Manual
 Division of Mental Retardation Operations Manual
 Division of Substance Abuse Operations Manual
 Division of Administration and Finance Management Operations Manual
 Fire & Emergency Evacuation Plan
 Computer Security and Access Manual

5. The Privacy Officer shall send a list of the policies to the designated employee for

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review.

6. The employee shall review the policies and prepare revisions as necessary.
 7. The employee shall submit a completed review to the Privacy Officer by the end of the calendar month indicated for review.
- D. Copies of the DMHMRS Policies and Procedures manual, strategic planning document and other handbooks and manuals shall be strategically located to ensure availability to employees, volunteers and, if appropriate, individual clients.
1. A summary sheet and an acknowledgement of receipt shall accompany new or revised departmental policies and procedures, distributed by the Privacy Officer.
 2. The acknowledgement of receipt shall serve as a notice that the staff members receiving copies of new or revised departmental policies have:
 - a. Received and reviewed the issued materials;
 - b. Informed staff under their supervision of the issued materials and their effect on that particular section or division;
 - c. Taken the necessary action to implement the procedures set forth in the issued materials;
 - d. Placed the issued materials in the proper chapter and respective manual.
- E. The DMHMRS Policies and Procedures manual shall be available to the public and legislative and executive bodies by request to the Commissioner.
- F. All departmental personnel, contract personnel, consultants, part-time staff and volunteers shall abide by the policies and procedures of DMHMRS.
- G. Formulation and revision of DMHMRS operating procedures shall be coordinated, monitored and reviewed by the Privacy Officer.
- H. This policy shall be reviewed and revised as necessary.